



## ***CCOutreach*** **2007 Regional Seminars**

This document is intended to provide investment company and investment adviser Chief Compliance Officers with factors or controls to consider when evaluating the effectiveness of their firms' compliance programs. It provides information regarding documents and information examiners request, analyses examiners perform, and common deficiencies found on examinations for the following areas:

- *Disclosures and Filings and Books and Records*
- *Portfolio Management*
- *Performance Advertising and Marketing*
- *Brokerage Arrangements and Execution, Trade Allocation, and Soft Dollars*

The forensic measures discussed in this document are not an exhaustive list. Rather, such measures are examples of tests, some of which are already widely used by both registrants and examiners.

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